

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of:

Weber, et al..

Application No.: 10/752,069

Filed: January 8, 2004

For: Systems and Methods for Trading Actively
Managed Funds

Art Unit: 3624

Examiner: LIVERSEEDGE

Atty. Docket: 0322.0008.CPUS01

TRANSMITTAL FOR PRELIMINARY AMENDMENT

Mail Stop Amendment

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

Applicants submit the following documents for appropriate action by the U.S.

Patent and Trademark Office:

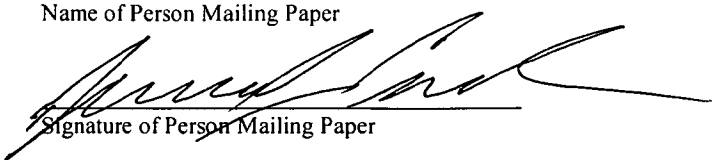
- ☒ Preliminary Amendment; and
- ☒ Return postcard.

CERTIFICATE OF MAILING
(37 C.F.R. §1.8a)

I hereby certify that this paper (along with any referred to as being attached hereto) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to ***Mail Stop Amendment***, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1340.

November 21, 2006
Date of Deposit

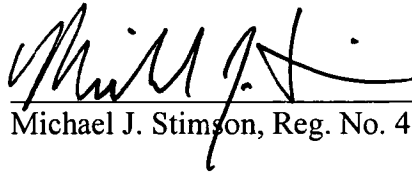
Jennifer Coulson
Name of Person Mailing Paper


Signature of Person Mailing Paper

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency or credit any overpayment, to our Deposit Account No. **08-3038**, referencing Docket No. **00322.0008.CPUS01**.

Respectfully submitted,

Date: November 21, 2006

A handwritten signature in dark ink, appearing to read "Michael J. Stimson", is written over a horizontal line.

Michael J. Stimson, Reg. No. 45,429

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